

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Sotomayor, Sonia	2. Court or Organization Supreme Court of the United States	3. Date of Report 5/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Associate Justice	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 1 First Street, NE Washington, DC 20543		
<p align="center">IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p>		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Governing Director	iCivics
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2/8/2018	Penguin Random House LLC	\$12,500.00
2. 7/16/2018	Penguin Random House LLC	\$500.00
3. 10/8/2018	Penguin Random House LLC	\$10,000.00
4. 11/5/2018	Penguin Random House LLC	\$10,000.00
5. 4/13/2018	The Diller-von Furstenberg Family Foundation (Donation)	\$2,000.00

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS - *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	Lawforwa.org (Council on Public Legal Education)	1/22-23/2018	Seattle, WA	Participation in Civic Learning Initiative Conference	Transportation, Lodging and Meals
2.	Emory University School of Law	2/5-6/2018	Atlanta, GA	Participation in question and answer session with law school students	Transportation, Lodging and Meals
3.	Brown University	2/6-7/2018	Providence, RI	Participation in question and answer session with students	Transportation, Lodging and Meals

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4.	National Association of Student Personnel Administration	3/5-6/ 2018	Philadelphia, PA	Participation in a question and answer session with conference participants	Lodging
5.	New York University School of Law	3/6/2018	New York, NY	Address at convocation honoring Judge Robert A. Katzmann	Transportation and Meals
6.	Vanderbilt University Law School	4/2-3/2018	Nashville, TN	Participation in question and answer session with students	Transportation, Lodging and Meals
7.	New York University School of Law Guarini Institute for Global Legal Studies	4/6/2018	New York, NY	Conversation with retired South Africa Constitutional Court Judge Albie Sachs	Transportation and Meals
8.	Yale University School of Law	9/13-14/2018	New Haven, CT	Participation in Global Constitutionalism Seminar	Transportation, Lodging and Meals
9.	Princeton University	10/5/2018	Princeton, NJ	Speech	Transportation
10.	American Academy of Arts and Sciences	10/6-7/2018	Cambridge, MA	Induction as a member	Transportation, Lodging and Meals
11.	Cornell University School of Law	10/18-19/2018	Ithaca, NY	Judged Moot Court Competition	Transportation, Lodging and Meals
12.	Harvard University Law School	11/13-14/2018	Cambridge, MA	Judged Moot Court Competition	Transportation, Lodging and Meals
13.	Duquesne University Law School	12/7/2018	Pittsburgh, PA	Accepted Carol Mansmann Award for Distinguished Public Service	Transportation and Meals

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☐ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1. JP Morgant Chase, NA	Mortgage on Rental Property #1, New York, New York (Pt. VII, Line 6)	N
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – Income, value, transactions (Includes those of spouse and dependent children; see pp. 34–60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Citibank, N.A. Accounts	A	Interest	M	T					
2. Morgan Stanley Bank, NA (H)	A	Interest	J	T					
3. Morgan Stanley Bank, NA (IRA) (H)	A	Interest	K	T					
4. Blackrock GLB Allocation FD Class A (IRA)	A	Dividend	L	T					
5. Pimco Unconstrained BDA (IRA)	B	Dividend	L	T					
6. Rental Property #1, New York, NY Appraised 2012	E	Rent	P1	Q					
7. Ishares Core MSCI EAFE ETF	B	Dividend	L	T					
8. Ishares Core MSCI Emerging	A	Dividend	K	T					
9. Ishares IBOXX \$ H/Y COR BD ETF	A	Dividend			Sold	01/12/18	K	A	
10. Ishares Russell 1000 GRW ETF	A	Dividend	K	T					
11. Ishares Russell 1000 Value ETF	A	Dividend	K	T					
12. Ishares Russell 2000 GRWTH ETF	A	Dividend			Sold	07/27/18	J	A	
13. Ishares Russell 2000 Value ETF	A	Dividend			Sold	07/27/18	J	A	
14. Ishares Russell MIDCAP G ETF	A	Dividend	J	T					
15. Ishares Russell MIDCAP V ETF	A	Dividend	J	T					
16. Ishares Tips Bond ETF	A	Dividend	J	T					
17. PIMCO Enhanced SHRT MTRT EXC	B	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$5,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. SPDR Naveen BBG Bar SHRT Term	B	Dividend	L	T					
19. SPDR Naveen BBG Barclays MUN B	B	Dividend	L	T					
20. Wisdomtree Trust JAPN Hedge EQ	A	Dividend			Sold	01/12/18	J	A	
21. Ishares Inc MSCI Japan (ETF)	A	Dividend	J	T	Buy	01/12/18	J		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part III - A - Items 1, 2, 3 and 4 - Publisher's advances against royalties for two books. Dates provided are dates of checks forwarded by literary agent in amounts net of agent's commissions. I have been advised by Penguin Random House, LLC, publisher of the two books, *Turning Pages* and *The Beloved World* of Sonia Sotomayor that it disbursed \$20,052 during 2018 to promote the sale of the books. Those disbursements included the payment of expenses to third parties (e.g. transportation and lodging) in support of appearances I made in various locations in the United States. I visited Michigan State University in August, 2018 and State University of New York at Stony Brook in October, 2018, and participated in question and answer events with students at both universities. Both are public institutions. Both universities purchased copies of my memoir, *My Beloved World*, which were read as part of their freshman orientation programs.

Part III - A - Item 5 - Donation of \$2,000 was made on my behalf to a qualified charitable organization in lieu of an honorarium, pursuant to Section 1020.30(c) of the Judicial Conference Regulations.

Part IV - Item 1 - In conjunction with this event, I participated in events sponsored by the University of Texas - San Antonio and the University of Houston Law School. Both universities are public institutions. The cost of transportation was shared by the sponsor of the event and the two universities.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Sonia Sotomayor

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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